

Appendix A
In The Claims

1) (Amended) A method of managing risk with the aid of a computer system,
5 said method comprising:

- a. identifying a set of risk elements, said risk elements being stored in a database coupled to said computer;
- b. identifying one or more control procedures associated with each
10 said risk element, said control procedures being stored in said database;
- c. assigning a weight to each said control procedure;
- d. identifying [determining] a compliance rating for each said control procedure; and
- e. calculating a compliance score, said compliance score being a
15 function of said assigned weights and said compliance rating of said control procedures.

10) (Amended) A method of managing risk with the aid of a computer system, said method comprising:

- f. identifying a set of risk elements, said risk elements being stored in a database coupled to said computer;
- g. identifying one or more subrisk elements associated with each said risk element, each said subrisk element being stored in said database;
- h. identifying one or more control procedures associated with each
25 said subrisk element, said control procedures being stored in said database;
- i. assigning a weight to each said control procedure;
- j. identifying [determining] a compliance rating for each said control
30 procedure, said compliance ratings including a plurality of

categories including at least one category indicating said control procedure is not fully compliant;

k. calculating a compliance score, said compliance score being a function of said assigned weights and said compliance rating of said control procedures;

l. for each said subrisk, determining whether at least one control procedure [procedure] associated with said subrisk is not fully compliant;

m. for each said subrisk associated with at least one control procedure which is not fully compliant, receiving a signal indicating whether said subrisk should be accepted or not accepted; and

n. for each said subrisk which is indicated as not accepted, generating an action plan.

14) (Amended) A method of forecasting risk with the aid of a computer system, said method comprising:

a. identifying a set of risk elements, said risk elements being stored in a database coupled to said computer;

b. identifying one or more control procedures associated with each said risk element, said control procedures being stored in said database;

c. assigning a weight to each said control procedure;

d. identifying [determining] a compliance rating for each said control procedure, said compliance ratings chosen from a set of ratings including at least one rating identifying a non-fully compliant control procedure and at least one rating identifying fully compliant control procedures;

e. for each said control procedure having a non-fully compliant rating, generating an action plan, said action plan including a target date for at least one action listed therein; and

- f. calculating an expected compliance score for a future date, said expected compliance score being a function of said assigned weights, said fully compliant control procedures, and said action plan target dates for said non-fully compliant control procedures.